Adult Education Program
Grant Continuation Guidance
July 1, 2016 – June 30, 2017

The Indiana Department of Workforce Development (DWD), Division of Adult, Career and Technical Education oversees the delivery of Adult Education and Literacy activities for the State of Indiana. DWD has implemented a comprehensive, regional structure for adult education comprised of the following components: foundational-skills development, occupational bridge-program training, academic and career counseling, and related initiatives to assist adults and out-of-school youth.

The goals of the system are: leveraging all available resources toward increasing the capacity of Indiana's adult education system; increasing accessibility to adult education services in areas of the state most in need of these services; meeting and exceeding learner performance goals; creating a seamless transition to postsecondary education or training and employment; and building an educated and competitive Indiana workforce.

To support delivery of these services, DWD announces the availability of the continuation of state and federal funds to support the regional provision of the services discussed above for the period of July 1, 2016 to June 30, 2017. Indiana's estimated Adult Education and Family Literacy Federal Award amount for Program Year (PY) 2016-17 is $9,403,805. 82.5% of which will be granted out to eligible providers of Adult Education and Literacy activities. This federal AEFLA award makes up 39% of all Indiana Adult Education funding. Indiana does not utilize non-governmental funding for the delivery of Adult Education programming in the state.

Only fiscal agents that received funding for the current program year (July 1, 2015 to June 30, 2016) are eligible to apply for continuation of funds. Applying agencies should review DWD Adult Education policies in advance of submitting their grant applications. Adult Education Policies can be found at http://www.in.gov/dwd/2910.htm.

Each quarter DWD Adult Education will request reports from applying agencies against the information submitted in this application. Information gathered from the quarterly report will be used for the sharing of best practices among Adult Education providers statewide, for the delivery of technical assistance to grantees and their sub-grantees, and to inform annual provider monitoring.

This guidance document lists and provides instructions on completing all required continuation application materials. The guidance is divided as follows:

> I: Program and Fiscal Overview
> II: Performance Metrics
> III: Narrative Requirements
> IV: Grant Submission Guidelines
> V: List of Forms and Appendices

DUE DATE
One electronic copy of the application must be submitted via email to **AdultEd@dwd.in.gov** no later than **10 am on** **February 22, 2016**. Additional grant continuation requirements and submission details are included in Section IV.

I. Program and Fiscal Overview

DWD will issue grants designed to support adult education (AE) programs. Indiana Adult Education is a federally and state-funded program that, per WIOA Title II, delivers:

Instruction and education below the postsecondary level that increases the individual's ability to:

> (A) read, write, and speak in English and perform mathematics or other activities necessary for the attainment of a secondary school diploma or its recognized equivalent;
> (B) transition to postsecondary education and training; and
> (C) obtain employment (Pub. L. 113-128, Title II, Sec. 203(1)).

This includes **Adult Education and Literacy Activities**, defined as:

> programs, activities, and services that include adult education, literacy, work-place adult education and literacy activities, family literacy activities, English language acquisition activities, integrated English literacy and civics education, workforce preparation activities, or integrated education and training. (Pub. L. 113-128, Title II, Sec. 203(2)).

Allocation
DWD has *estimated* the allocation of the Workforce Innovation and Opportunity Act (WIOA) Title II and state AE funds for these activities to each region based on a funding formula that accounts for enrollment in Adult Education, UI claimants, and performance.

Table 1 below shows the variables, description, and formula weight. See **Appendix A – Adult Education Funding Formula and Allocation** for each region's *estimated* allocation.

Table 1: Adult Education Formula Allocation

Variable	Description	Weight
% of Statewide Enrollment	• Enrollments from PY 2014 (July 1, 2014 - June 30, 2015) from NRS Table 4 • Enrollments from PY 2015 to date (July 1, 2015 – December 31, 2015) from NRS Table 4	40%
% UI Claimants	• Calendar year 2014 UI Claimants without a credential ages 18-44 • Source: DWD Claimant Pool Analysis	10%
% Reimbursements Earned for Outcomes	• Reimbursements earned less enrollments ($60) and EL Civics according to the Adult Education Reimbursement Schedule for PY 2013 and PY 2014 to December 31, 2014.	50%

Maintenance of Effort
For the State to achieve and maintain the necessary non-federal expenditure on an equitable basis, DWD requires each region to contribute local maintenance of effort (MOE) against federal funds. This level is included in Appendix A under the heading "FY16" under the column labeled "MOE." MOE can include the following types of resources:

- Any non-federal or non-state funds that are used to provide AE. This does not include costs related to high school equivalency testing services.
- In-kind contributions to the AE program such as facility/office space costs, utilities, custodial services, copying and printing costs, phones and other technology costs.
- Cost of staff time, including unpaid volunteers, spent on AE related services paid from other non-federal or non-AE state funds. These costs may be pro-rated by percentage of time used to provide AE program related services.

MOE expenditures must be documented, and that documentation must be kept with the fiscal records of the grantee or sub-grantee for the purposes of an audit.

Procurement and Reimbursement Processes
All procurement must follow DWD procurement guidance issued in DWD Policy 2013-05 Adult Education Funding policy and DWD Policy 2015-02 Property Management/Surplus Property policy. Fiscal agents may submit requests for reimbursement against the budget form for actual expenditures once a month. Fiscal agents must submit a request for reimbursement every quarter at a minimum. Each reimbursement request must be submitted with a line item spending report corresponding to the amounts being requested for reimbursement. DWD will post reimbursement request and spending report forms on the Adult Education Program Management website: http://www.in.gov/dwd/2909.htm.

Audit Responsibilities
Fiscal agents that receive $750,000 or more in federal funds are required to have an outside entity conduct an A-133 audit on an annual basis. An A-133 audit examines compliance with the regulations governing the use of federal funds by grant sub-recipients of federal funds. Agencies who do *not* receive $750,000 or more in federal funds are not subject to the specific A-133 audit. Fiscal agents must submit either the most recent A-133 or an annual audit electronically with the grant continuation documents. All agencies should maintain audit records on file.

Required Program Overview & Fiscal Forms
Program and fiscal information must be submitted on the following forms to be completed by each fiscal agent in the AE Regional Consortium.

- **Form 1 – Cover Sheet**:
  This form consists of a cover sheet for the grant application. Applying agencies must provide location and contact information on this form.
  This form should list the name and contact information of the individual who is responsible for preparing fiscal invoices and fiscal reports in addition to the individual who has signatory authority to sign the grant agreement. This may or may not be the same person.

- **Form 2A – Budget and Cost Analysis Form**:
  This form includes detailed budget categories and subcategories for both program and administrative costs. Fiscal agents must budget their estimated spending for PY16, categorizing costs on this form into program (instructional), administrative (non-

instructional), correctional institution (jail) program, maintenance of effort, or all other program income.

Funds spent on classes in correctional education programs must be tracked separately in Form 2A. Of the funds available in this grant, only state funds may be used for these programs. Apart from spending on correctional education programs, state and federal funds can be used in the same manner. State funds should be budgeted for line items that will be expended first.

Each region shall use a portion of the allocated federal funds for the purpose of professional development. Funds should be used primarily to attend DWD sponsored professional development events, other conferences of state or national significance, or regional professional development initiatives that align to DWD AE PD priorities per DWD Policy 2011-10 Adult Education Professional Qualifications & Development policy. All anticipated professional development costs should be listed under the PD line items on the Form 2A Budget & Cost Analysis Form.

- **Form 2B – Administration Cap Waiver Request**:, if applicable
  Administrative costs may not exceed 5% in state and federal funds unless a waiver is submitted with appropriate justification per section 222(a)(3) of WIOA. Form 2B allows fiscal agents to request spending up to 15% of state and federal funds on administrative costs. **Note: Waivers submitted without a justification will not be approved.** Waivers will be reviewed and if approved, signed by the state director of Adult Education and returned to applying agencies.

- **Form 2E – Sub-grantee Budgets**:
  In Form 2E each fiscal agent must submit a budget for each sub-grantee showing the distribution of funds by both type (program and administration) and source (state and federal).

- **Form 2D – Program Staffing**:
  This form must be completed for each adult education provider participating in a consortium. All current program staff should be accounted for in this table. Vacant or anticipated positions should be included in red text. This table should represent each provider's best estimate at staffing for the 2016-17 program year.

- **Form 2F – AE Locations & Classes List**:
  Form 2F must be completed for each adult education provider, including new or anticipated AE providers in the consortium. Form 2F must include a list of class locations (including addresses), class types/levels offered at each location, and days/hours each class meets per location, including planned breaks.

- **Form 4 – Assurances:**
  This form should be completed by each applying organization. Applicants should read the form, signing at the bottom where indicated to acknowledge and agree to each assurance.

- **Form 5 – Author List:**
  Form 5 must be completed for each Adult Education grant submitted. All individuals who wrote part or the entire submitted grant must be listed. Names and contact information for each individual must be provided.

II. Performance Metrics

At the federal level, the National Reporting System (NRS) defines measures of student outcomes that include literacy gains, improved English proficiency, and attainment of postsecondary credential and student advancement to further education or employment. The federal Office of Career, Technical, and Adult Education (OCTAE) requires DWD to set state targets for these measures and report performance on them annually.

Form 3 - Consortium Performance Measures Worksheet
To ensure Indiana meets its OCTAE targets, DWD requires each consortium to establish regional and targets for the measures which are summarized in Form 3. State performance targets have been provided in to assist consortia in setting regional targets.

Form 6 – AE Provider Performance Measures Worksheet
Additionally, DWD requires each AE provider in the consortium to propose targets for measures found in Form 6. These measures support Indiana AE in reaching 5-year performance goals and assist in our transition to WIOA Common Measures. State and Regional performance targets for these measures can be found in **Appendix F - State and Regional Performance Targets PY16** and must be used in setting provider-level targets.

This data will be tracked in the InTERS system and will be used as measures in the risk analysis conducted to determine the need for AE technical assistance and monitoring.

NOTE: DWD may request new and/or revised targets from applicants once final definitions and guidance on WIOA common measures are available.

III: Narrative Requirements

All questions below should be responded to as **NEW** questions. Do not submit updates to narrative responses provided in previous grant continuation applications. All response should be in regards to the 2016-2017 program year. Follow the response instructions and page limits listed below as well as the formatting requirements listed in Section IV: Grant Submission Guidelines.

A. Consortium Management *(one response per Region; no more than 5 pages per response):*

1. When will the consortium meet in 2016-17?
2. List all current formal consortium members and their organization category.
3. List all informal consortium partnerships and the resources these partnerships provide.
4. Describe how in 2016-17 the consortium will ensure that the following stakeholders are represented in the consortium and how input from each group will be solicited for consortium meetings:
   (a) AE students, including English Language Learners (ELLs) and students with disabilities
   (b) Instructional staff
   (c) Administrative staff and volunteers
5. In regards to the performance targets submitted in Form 3, how will the consortium work to reach these targets?
6. Describe how the consortium will engage with employers in 2016-17? This should include both consortium-level and AE provider-level employer partnerships achieved through either collaboration with WorkOne and DWD Business Services staff or by working directly with employers.
    a. 1. In your response, list the employers any consortia members are currently working with OR
    a. 2. List employers consortia members are planning to engage and describe the number of potential employer partners to be engaged, how these potential employer partners will be approached and by whom.
    b. In your response, describe the nature of each partnership listed in a.1 or a.2 above.

B. AE Program Learner Engagement and Completion *(one response per AE provider; no more than 5 pages per response, excluding requested attachments):*

7. Attach any provider-specific policies in place, including policies addressing staff qualifications, student orientation & enrollment, student attendance & persistence, data collection & reporting, and program income/fees.
8. How will the provider coordinate with other available education, training, and social service resources in the community in 2016-17, including all WIOA core programs?
9. Will the provider directly offer supportive services to students in 2016-17? Please describe.
10. In regards to the performance targets submitted in Form 6, how will the provider work to reach these targets?
11. Describe what the student orientation & intake processes will look like in 2016-17.
12. Describe what the student follow-up and exit processes will look like in 2016-17.

13. Will the provider offer accelerated learning through the integration of (a) distance education, (b) fast track classes, and/or (c) tutors in 2016-17? Please describe each.
14. What programming and supports will the provider have in place to serve the following learners in 2016-17?
    a) low level learners
    b) English Language Learners (ELL)
    c) individuals with disabilities, including those with learning disabilities
15. How will the provider use technology to increase the amount and quality of learning in 2016-17?
16. What does the provider anticipate will be the greatest PD needs of staff in 2016-17?
17. Does the provider plan to provide any PD in 2016-17? Please describe.
18. What specific (quantitative) data points and performance thresholds will the provider use to define low-performing staff in 2016-17? What other (qualitative) data will the AE provider use to identify low-performing staff in 2016-17? How often will the provider evaluate staff performance? How will the provider support low-performing staff through PD?
19. In 2016-17, how will the provider ensure student and program data is reported timely and accurately into the AE data management system? List all data entry staff.

C. College and Career Readiness *(one response per AE provider; no more than 3 pages per response):*

20. In 2016-17, what will the provider do to ensure that AE instruction is aligned to OCTAE's College and Career Readiness Standards for Adult Education?
21. What workforce preparation activities will the provider offer to students in 2016-17? Please refer to the definition of "workforce preparation activities" located in Appendix H.
22. Describe any academic and career counseling that will be available to students in 2016-17?
23. How will the provider address the following considerations for developing and/or delivering Integrated Education and Training (IET) opportunities in 2016-17? Please refer to the definition of "IET" located in Appendix H.
    a. How will the provider blend AE and workforce preparation activities to design opportunities IET? List any curricula that will be used.
    b. Which occupations or occupational clusters will the provider focus on for IET development/delivery?
    c. How will the provider inform students about, and recruit students for, IET services in 2016-17?
24. How will the provider leverage partnerships with post-secondary institutions and employers to support student transitions in 2016-17?
25. What will providers do during orientation and follow-up to increase student transitions from AE to post-secondary education/training, and employment?

D. WorkINdiana *(one response per AE provider; no more than 1 page per response, excluding requested attachments):*

26. How will the provider recruit students to participate in WorkINdiana training in 2016-17?

27. Describe the local referral process that will be used to refer students to WorkINdiana training in 2016-17. Attach any referral forms that will be used.
28. In 2016-17, how will the provider use contextualized instruction or integrated education and training to prepare students for, and support students in, occupational skills training in general and the WorkINdiana bridge program in particular?
29. What activities or strategies will providers implement to support students concurrently enrolled in AE and WorkINdiana in 2016-17?

IV: Grant Submission Guidelines

A. Application Format
Required forms from Sections I and II should be completed on the forms provided. These forms should be saved and returned in their original file formats, except for Form 2B (where applicable) and Form 4, which require signatures. Form 2B (where applicable) and Form 4 should be completed, then printed, signed, scanned, and submitted as PDF files.

Responses to Section III must be typed, single spaced, in size 12 font with 1" margins on 8 ½" by 11" paper with all pages sequentially numbered. Applicants must include the following identifying information at the top of each response page: Region, Applying Agency, and AE Provider (where applicable). Applicants must respond to questions in Section III in the numerical order listed with responses numbered to reflect corresponding question numbers. Page limits listed for each sub-section of Section III must be followed. Required forms and requested attachments do not count against the listed page limitations.

B. Submission Requirements

Electronic copies of all required forms and narrative responses must be submitted via email to **AdultEd@dwd.in.gov**. The subject line of the email should be styled as "Region [#], Fiscal Agent, PY16-17 AE Grant Continuation Submission"

If electronic attachments are too large to be submitted in one email, application materials should be sent in sequential emails with the subject line of each email noting total number of messages being sent (e.g., Region 13, DWD Township Schools PY16-17 AE Grant Continuation Submission **1 of 5**, Region 13, DWD Township Schools PY16-17 AE Grant Continuation Submission **2 of 5**, etc.).

A confirmation email will be sent to the contact person listed in Section A of Form 1 when *all* components of the application are received. Applicants are advised to use the provided Grant Continuation Checklist to check that all components have been formatted and submitted correctly.

C. Technical Assistance
Questions about this grant opportunity may be addressed to **AdultEd@dwd.in.gov**.

A webinar recording discussing the grant continuation requirements will be posted at **http://www.in.gov/dwd/2909.htm**.

V: List Forms and Appendices

A. Forms

2016-2017 Grant Continuation Checklist
Form 1 – Grant Continuation Cover Sheet
Form 2A – Budget and Cost Analysis
Form 2B – Administration Cap Waiver Request
Form 2D – Program Staffing Table
Form 2E – Sub-grantee Budgets
Form 2F –Locations & Classes List
Form 3 – Consortium Performance Measures Worksheet
Form 4 – Assurances
Form 5 – Authors list
Form 6 – AE Provider Performance Measures worksheet

B. Appendices

Appendix A – Adult Education Formula and Allocation
Appendix F – State and Regional Performance Targets
Appendix G – Narrative Scoring Rubric
Appendix H - Definitions